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DOCKET NO.: PUAS-0016  
Application No.: 09/982,001  
Request For Completed Copy of Form 1449: December 16, 2003

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
**Forrest et al..**

Confirmation No.: **8094**

Application No.: **09/982,001**

Group Art Unit: **2874**

Filing Date: **October 18, 2001**

Examiner: **Ullah, Akm E.**

For: **TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED CIRCUITS**

**EXPRESS MAIL LABEL NO: EV 970382751 US**  
**DATE OF DEPOSIT: December 16, 2003**

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**REQUEST FOR COMPLETED COPY OF FORM PTO-1449 MODIFIED**

In a communication dated August 15, 2003, Applicants submitted an Issue Fee in response to the Notice of Allowance/Notice of Allowability issued May 15, 2003.

Applicants' undersigned representative submits herewith a Petition To Withdraw From Issue.

The Petition To Withdraw From Issue is being filed to provide the Patent Office the opportunity to consider the International Search Report and references cited therein that are specified in the Supplemental Information Disclosure Statement that is being filed herewith.

Applicants' undersigned representative further notes that an Information Disclosure Statement, three sheets of Form PTO-1449 Modified, and copies of seven references listed on the Form PTO-1449s were submitted to the Patent Office on December 18, 2001. Applicants have not received initialed and signed copies of the three sheets of Form PTO-1449

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**PATENT**

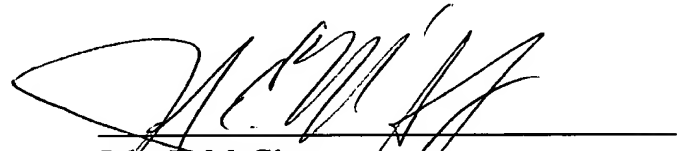
**Application No.:** 09/982,001

**Request For Completed Copy of Form 1449:** December 16, 2003

corresponding to the Information Disclosure Statement. Accordingly, Applicants' undersigned representative respectfully requests copies of the initialed, signed, and dated Form PTO-1449s as confirmation from the Examiner that the references cited on the Form PTO-1449s have been considered. A copy of the Information Disclosure Statement, the accompanying three sheets of Form PTO-1449, and the date stamped return post card for these items as received by the Patent Office is enclosed for the Examiner's convenience.

Should there be any questions regarding this communication, the undersigned invites the Examiner to contact him at the number provided below.

Date: December 16, 2003

  
\_\_\_\_\_  
John E. McGlynn  
Registration No. 42,863

Woodcock Washburn LLP  
One Liberty Place - 46th Floor  
Philadelphia PA 19103  
Telephone: (215) 568-3100  
Facsimile: (215) 568-3439

**RECEIVED BY THE UNITED STATES  
PATENT AND TRADEMARK OFFICE**

**Paper:** Information Disclosure Statement (in duplicate); w/first class stamp; USPTO-1449 (3 page(s)); 22 reference(s) cited/7 reference(s) submitted; return postcard

**Applicant(s) :** Stephen R. Forrest, et al.

**Title:** TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED CIRCUITS

**Serial No.:** 09/982,001

**Filed:** October 18, 2001

**Docket No.:** PUAS-0016

**Date Sent:** December 18, 2001



JEM/EA McLoud for  
D. DeSanto

DOCKET NO.: PUAS-0016

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Stephen R. Forrest, et al.

Serial No.: 09/982,001

Group Art Unit: Not Yet Assigned

Filing Date: October 18, 2001

Examiner: Not Yet Assigned

For: TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED  
CIRCUITS

DATE OF DEPOSIT: 12/18/01

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
DEPOSITED WITH THE UNITED STATES POSTAL  
SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID  
ON THE DATE INDICATED ABOVE AND IS ADDRESSED  
TO THE ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, DC 20231

TYPED NAME: John E. McGlynn  
REGISTRATION NO.: 42,863

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).



In accordance with §1.97(b), since this Information Disclosure Statement is being

filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐the first or ☐second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith
- EXCEPT THAT:
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

☒ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:

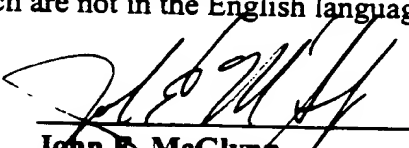
☒ Copies of references **AD thru AR** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. 09/337,785, filed **June 22, 1999**.

☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.  
This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date: 12/18/01

  
\_\_\_\_\_  
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